

CLOSEOUT ASSESSMENTS IN THE PERFORMANCE APPRAISAL APPLICATION (PAA) March 2007

Reference: DoD 1400.25-M, Subchapter 1940, paragraph 1940.6.5

What is a Closeout Assessment?

A closeout assessment is a brief narrative description of an employee's performance, accomplishments and contributions during the current appraisal period when it is known that the rating official will cease to exercise duties resulting from a job change by the rating official or the employee. A closeout assessment is not a rating of record. Multiple closeout assessments can be done in one rating cycle.

NOTE: If the rating official or employee movement occurs within 90 days before the end of the rating cycle, the rating official will prepare an early annual recommended rating of record instead of a closeout assessment. The pay pool manager may allow exceptions to this policy based on individual circumstances.

When is a Closeout Assessment Prepared?

- A closeout assessment is only required if an employee has been assigned to a specific supervisor and has been on an approved performance plan for more than 30 consecutive days. Minimum requirement - Components may define additional requirements.
- When a rating official will cease to exercise duties related to monitoring, developing, and rating employee performance (due to job change, extended absence, retirement, etc.)
- When it is known that the employee will change positions resulting in a new rating official.
- When a rating official prepares input for an employee's recommended rating of record while the employee is on a temporary assignment; e.g., detail, temporary promotion, etc.

Who Participates in a Closeout Assessment?

- A rating official will:

- a. Indicate the start date and end date of the period being assessed
- b. Prepare a rating official assessment specifically for the closeout assessment
- c. Approve the closeout assessment

- An employee will:


- a. Prepare an employee self-assessment (voluntary but strongly encouraged) specifically for the closeout assessment
- b. Acknowledge the closeout assessment

What are Closeout Assessments Used For?

The appropriate rating official shall consider a closeout assessment when determining:

- Recommended rating of record
- Share assignments
- Payout distribution

Once the Closeout Assessment is Done, What Next?

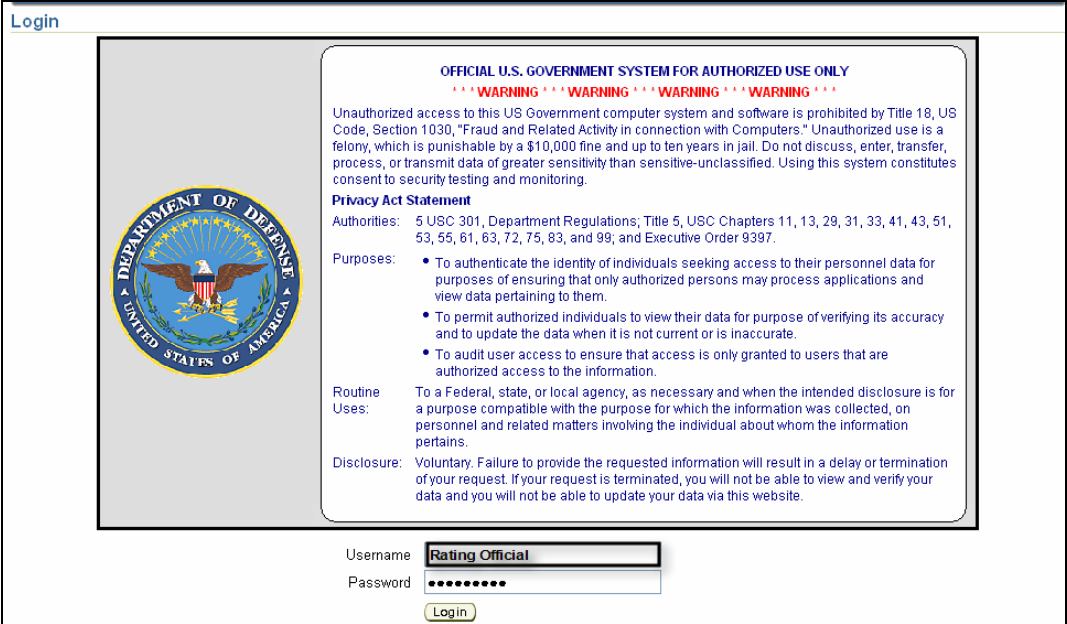
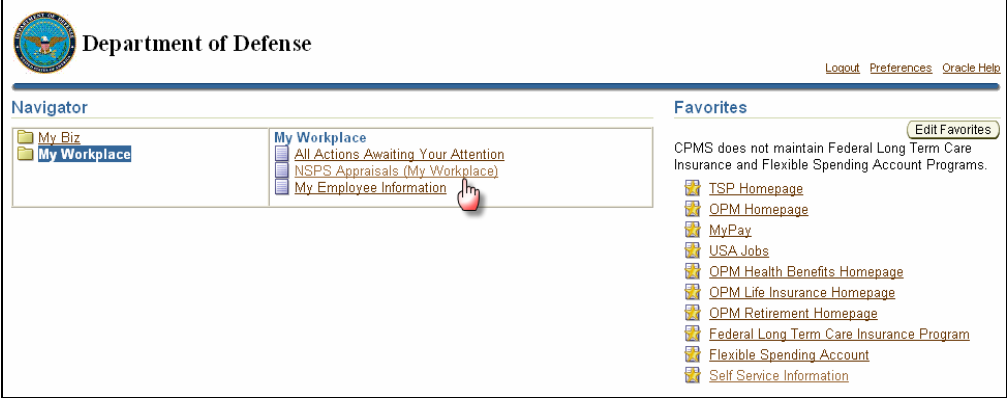
- If the employee changes jobs, a new performance plan may be necessary. The previous performance plan/appraisal will need to be “closed” by the rating official using the  functionality under Plans/Appraisals in Progress. In this case, after the closeout assessment is documented, the Rating Cycle End Date on the original performance plan/appraisal must be changed to 1 day prior to the effective date of the job change and a new performance plan is initiated with a Rating Cycle Start Date equal to the effective date of the job change.
- If the supervisor changes jobs, the supervisor must do their closeout assessment and use the Change Rating Official feature to route the existing performance plan to the new supervisor. No changes to Rating Cycle dates are needed.

Quick Overview of Steps for a Closeout Assessment:

RESPONSIBILITY	OVERVIEW
Rating Official	Rating Official enters “Closeout Assessment Start Date and Closeout Assessment End Date” (Required fields).
Rating Official	Rating Official invites Employee to provide “Self Assessment” for Closeout Assessment
Employee	Employee provides “Self Assessment” and transfers Plan/Appraisal back to Rating Official
Rating Official	Rating Official reviews Employee Self Assessment and provides Rating Official Assessment for Closeout Assessment
Rating Official	Rating Official transfers Plan/Appraisal back to Employee for Acknowledgement of the Closeout Assessment
Employee	Employee: <ul style="list-style-type: none">- Reviews Rating Official Assessment for Closeout Assessment- Acknowledges- Transfers Plan/Appraisal back to Rating Official
Rating Official	Rating Official enters “Communication Date”, “Communication Method”, and clicks the “Approve” button to finalize the Closeout Assessment NOTE: If Employee does not acknowledge, select “Refuse” or is not available to electronically acknowledge Closeout Assessment, select “Other” under Employee Acknowledgement.

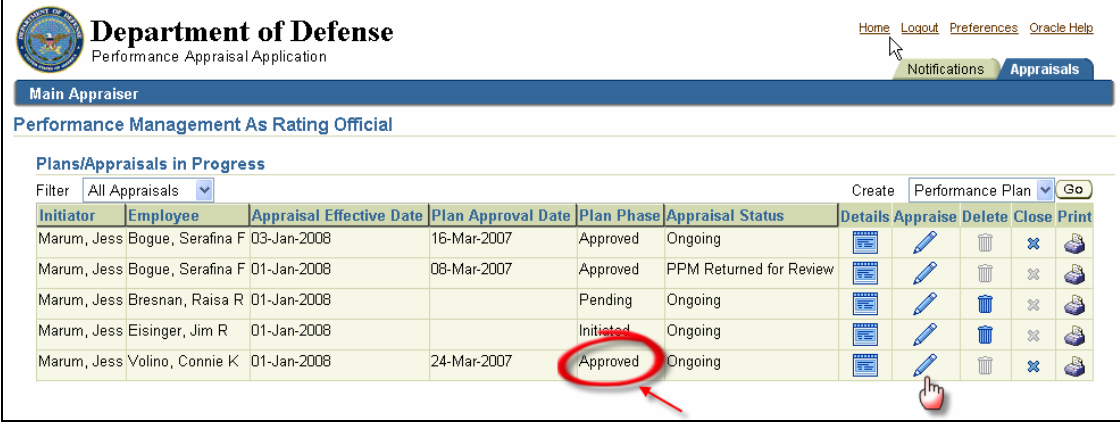
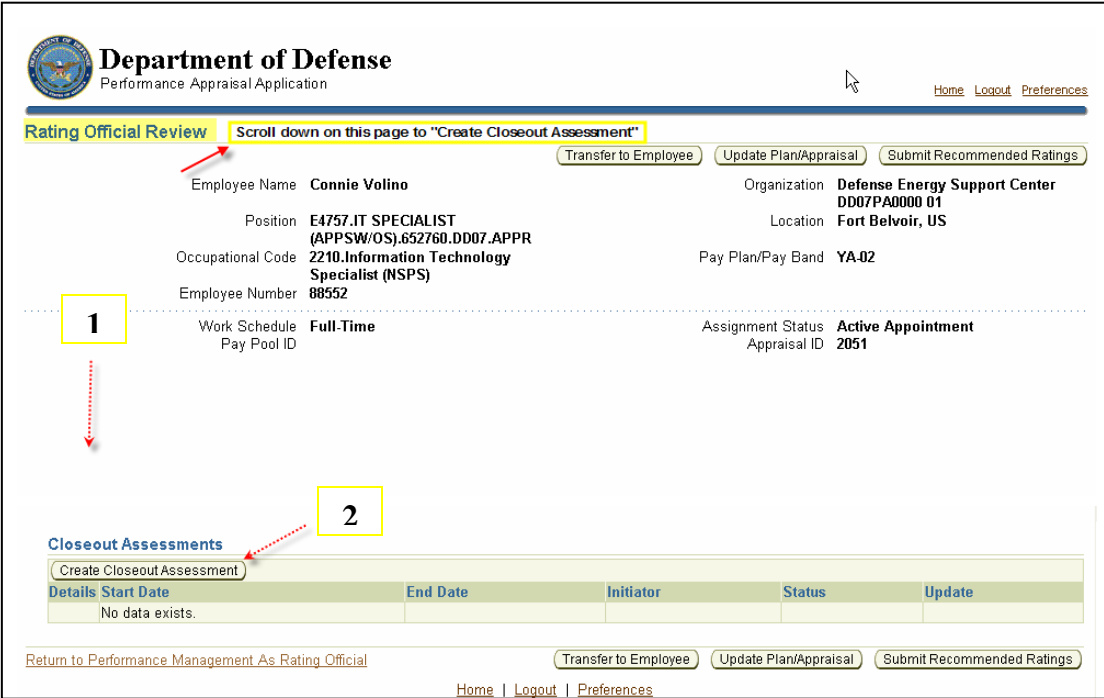
HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official

Step	Action – Rating Official
Action: Rating Official is creating Closeout Assessment.	
1	<div data-bbox="337 338 1398 957">  </div> <p data-bbox="337 999 935 1031">Enter Username and Password - click “Login”</p>
2	<div data-bbox="337 1108 1338 1503">  </div> <p data-bbox="337 1545 911 1577">Click “NSPS Appraisals (My Workplace)”</p>

HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official

Step	Action – Rating Official
3	 <p>The Plan Phase equals “Approved.” and the Appraisal Status equals “Ongoing”. Click “Appraise” icon to continue.</p>
4	 <p>1. Scroll down to the bottom of this page to “Closeout Assessment” area.</p> <p>2. Click “Create Closeout Assessment”.</p>

HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official

Step	Action – Rating Official
5	<div data-bbox="337 294 1451 724"> </div> <p>1. Enter “Closeout Assessment Start Date and Closeout Assessment End Date” (Required fields)</p> <p>2. Click “Save” to save any input.</p> <div data-bbox="365 924 544 1102"> </div> <div data-bbox="576 924 1451 1039"> <p>Once the closeout assessment has been created, the closeout assessment cannot be deleted.</p> </div>
6	<div data-bbox="337 1218 1451 1486"> </div> <div data-bbox="479 1564 576 1711"> </div> <div data-bbox="609 1554 1404 1743"> <p>Show – Located under the Details column, clicking this link expands the window to see all the details. After clicking “Show”, click the “Hide” link to collapse the window.</p> <p>Update – To update this area, click “Update.”</p> </div> <p>- Click “Transfer to Employee” to send to employee to provide their employee self-assessment.</p>

HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official


Step	Action – Rating Official												
9	<div><div>Closeout Assessments</div><div><div>Create Closeout Assessment</div><table><thead><tr><th>Details</th><th>Start Date</th><th>End Date</th><th>Initiator</th><th>Status</th><th>Update</th></tr></thead><tbody><tr><td> Show</td><td>08-Mar-2007</td><td>24-Mar-2007</td><td>Marum, Jess</td><td>PENDING</td><td></td></tr></tbody></table><div><div>Update Closeout Assessment</div><div><div> TIP A closeout assessment should acknowledge achievements to date.</div><div> ADVISORY: Information included in this section <i>will</i> print on the "official" DD Form 2906 Test, March 2006, Department of Defense NSPS Performance Plan Interim Review(s)/Closeout Assessment Annual Performance Appraisal.</div></div><div><div>Closeout Assessment Start Date</div><div>08-Mar-2007</div><div></div><div>Closeout Assessment End Date</div><div>24-Mar-2007</div><div></div><div>Communication Date</div><div></div><div></div><div>Communication Method</div><div></div><div></div><div>Other Communication Method</div><div></div></div><div><div>Closeout Assessment Initiator</div><div>Marum, Jess</div><div>Closeout Assessment Status</div><div>PENDING</div><div><input type="checkbox"/> Approve</div><div>Closeout Assessment Approved Date</div><div></div><div>Employee Acknowledge</div><div></div><div></div><div>Emp Acknowledged Date</div><div></div></div><div><div>Rating Official Assessment for Closeout Assessment</div><div><div>Rating Official enters assessment for closeout assessment here.</div><div>Established a complete filing system for the branch and provided all employees with a copy of the file plan and tips on how to file documents. I prepared material for approximately 1000 attendees for the world wide conference. Met all suspense dates. Travel arrangements were established without incident to the traveler.</div></div></div><div><div>Employee Self-Assessment for Closeout Assessment</div><div></div></div><div><div>Save</div><div>Cancel</div></div></div></div></div> <div><div>- Enter "Rating Official Assessment for Closeout Assessment"</div><div>- Click "Save"</div></div>	Details	Start Date	End Date	Initiator	Status	Update	Show	08-Mar-2007	24-Mar-2007	Marum, Jess	PENDING	
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Show	08-Mar-2007	24-Mar-2007	Marum, Jess	PENDING									
10	Click <div>Transfer to Employee</div> at the top or bottom of the page to send to the employee to acknowledge the closeout assessment.												
Action: Employee has acknowledged closeout assessment. Rating Official must finalize the closeout assessment.													
11	Follow Steps 1-3 above to access the performance plan/appraisal.												

HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official

Step Action – Rating Official

12



Department of Defense

Performance Appraisal Application

[Home](#)
[Logout](#)
[Preferences](#)

Rating Official Review
Scroll down on this page to the Closeout Assessment area.

1

Employee Name **Connie Volino**

Position **E4757.IT SPECIALIST (APPSW/OS).652760.DD07.APPR**

Occupational Code **2210.Information Technology Specialist (NSPS)**

Employee Number **88552**

Work Schedule **Full-Time**

Pay Pool ID

Organization **Defense Energy Support Center DD07PA0000 01**

Location **Fort Belvoir, US**

Pay Plan/Pay Band **YA-02**

Assignment Status **Active Appointment**

Appraisal ID **2051**

Closeout Assessments

[Create Closeout Assessment](#)

Details	Start Date	End Date	Initiator	Status	Update
Show	08-Mar-2007	24-Mar-2007	Marum, Jess	PENDING	Update

[Return to Performance Management As Rating Official](#)


[Transfer to Employee](#)
[Update Plan/Appraisal](#)
[Submit Recommended Ratings](#)

1. Scroll down to the bottom of this page to **“Closeout Assessment”** area.
2. Click **“Update”**.

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HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official

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HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Rating Official

Step

Action – Rating Official

14

Closeout Assessments

Create Closeout Assessment

Details

Start Date

End Date

Initiator

Status

Update

▼ Hide

08-Mar-2007

24-Mar-2007

Marum, Jess

APPROVED

Closeout Assessment Start Date

08-Mar-2007

Closeout Assessment End Date

24-Mar-2007

Communication Date

24-Mar-2007

Communication Method

Face to Face

Other Communication Method

Closeout Assessment Initiator

Marum, Jess

Closeout Assessment Status

APPROVED

Closeout Assessment Approved Date

24-Mar-2007

Employee Acknowledge

ACKNOWLEDGED

Employee Acknowledge Date

24-Mar-2007

Rating Official Assessment for Closeout Assessment

All job objectives were met to my expectations. Travel arrangements for me were always accomplished to accommodate my needs. Suspense's are never late and for most of the time, they are ahead of scheduled suspense date. Keep up the great work. I recognize the hard work you did to prepare for the world wide conference. We can always count on your expertise as a branch.

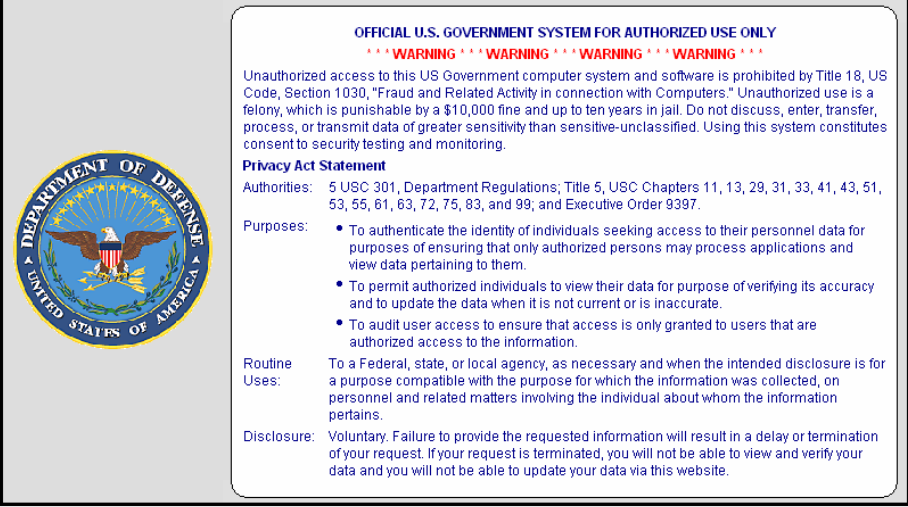

Employee Self-Assessment for Closeout Assessment

Established a complete filing system for the branch and provided all employees with a copy of the file plan and tips on how to file documents. I prepared material for approximately 1000 attendees for the world wide conference. Met all suspense dates. Travel arrangements were established without incident to the traveler.

The closeout assessment status now equals “Approved”.

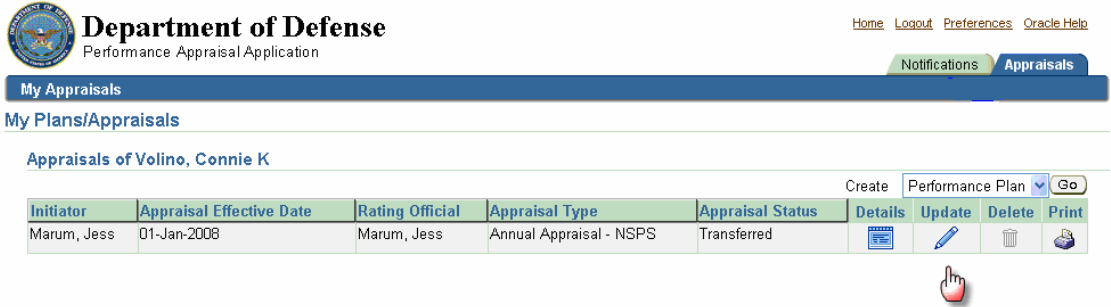


HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Employee

Step	Action - Employee
Action: Rating Official has requested Employee Self-Assessment for Closeout Assessment.	
1	<div data-bbox="337 348 1419 1003" data-label="Form">  <p style="text-align: center;">Username: <input type="text" value="Employee"/></p> <p style="text-align: center;">Password: <input type="password" value="....."/></p> <p style="text-align: center;"><input type="button" value="Login"/></p> </div> <p data-bbox="337 1041 1024 1077">Enter User Name and Password and click on “Login”</p>
2	<div data-bbox="337 1150 1419 1581" data-label="Form">  <p data-bbox="337 1619 805 1654">Click “NSPS Appraisals (My Biz)”</p> </div>

HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Employee

Step	Action - Employee
3	 <div>  <p>Notifications Tab – If you wish to see the comments from the Rating Official, click on the subject line for the most recent notification under the Notifications tab.</p> </div> <p>Click “Update” icon.</p>
4	 <p>1. Scroll down to the bottom of this page to “Closeout Assessment” area.</p> <p>2. Click “Update”.</p>

HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Employee

Step	Action - Employee
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	<ul style="list-style-type: none"> - Enter "Employee Self-Assessment for Closeout Assessment" - Click "Save" <p>NOTE: Do not "Acknowledge" the closeout assessment at this time. Acknowledgement should only occur after the Rating Official provides their assessment.</p>
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HOW TO COMPLETE A CLOSEOUT ASSESSMENT

Employee

Step	Action - Employee
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10	<div>Click <div>Transfer to Rating Official</div> to send the acknowledgement to the Rating Official.</div>